

Applicants:	Hambrecht, et al	Attorney Docket:	2955/107
Serial No:	10/632,818	Art Group Unit:	3691
Date Filed:	August 4, 2003	Examiner Name:	Campen, Kelly Scaggs
Invention:	Auction System and Method for Pricing and Allocation During Capital Formation		

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE STATEMENT**

## Section 6. Copies of Listed Information Items Accompanying This Statement

*NOTE: 37 C.F.R. section 1.98(a)(2) requires that any information disclosure statement filed under section 1.97 shall include: "A legible copy of: (I) Each U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included . . ."*

*NOTE: The wording in section 1.98(a)(2)(iii) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.*

Legible copies of all items listed in Forms PTO/SB/08A and 08B (substitute for Form PTO-1449) accompany this information statement.

*(complete the following, if applicable)*

☒ Exception(s) to above:

**U.S. patent citations are not included pursuant to the United State Patent and Trademarks Office's September 21, 2004 waiver of the copy requirement in 37 CFR 1.98 for cited pending U.S. patent citations when the patent citations are available in the USPTO's IFW system.**

☐ Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

## Section 10. Identification of Person(s) Making This Information Disclosure Statement

The person making this certification is

*(check each applicable item)*

- (a) ☐ the inventor(s) who signs below

\_\_\_\_\_  
**SIGNATURE OF INVENTOR**

\_\_\_\_\_  
*(type name of inventor who is signing)*

- (b) ☐ an individual associated with the filing and prosecution of this application (37 C.F.R. section 1.56(c))

\_\_\_\_\_  
**SIGNATURE OF INVENTOR**

\_\_\_\_\_  
*(type name of inventor who is signing)*

- (c) ☒ the practitioner who signs below on the basis of the information:

*(check each applicable item)*

☐ supplied by the inventor(s).

☐ supplied by an individual associated with the filing and prosecution of this application.  
(37 C.F.R. section 1.56(c)).

☒ in the practitioner's file.

Reg. No.: 30,445

Tel. No.: (617) 443-9292

Customer No.: 002101

02955/00107 802885.1

\_\_\_\_\_  
/Robert M. Asher, 30,455/

**SIGNATURE OF PRACTITIONER**

\_\_\_\_\_  
Robert M. Asher, 30,455

*(type or print name of practitioner)*

\_\_\_\_\_  
125 Summer Street, 11<sup>th</sup> Floor

P.O. Address

\_\_\_\_\_  
Boston, MA 02110-1618